

The JS-44 civil cover sheet and the information contained herein neither replace nor supplement the filing and service of pleadings or other papers as required by law, except as provided by local rules of court. This form, approved by the Judicial Conference of the United States in September 1974, is required for use of the Clerk of Court for the purpose of initiating the civil docket sheet.

PLAINTIFFS

Securities and Exchange Commission

DEFENDANTS

Jason W. Galanis; John P. Galanis; Jared M. Galanis; Derek M. Galanis; Gary T. Hirst; Gavin L. Hamels

ATTORNEYS (FIRM NAME, ADDRESS, AND TELEPHONE NUMBER)

Andrew M. Calamari, Esq.

Nancy A. Brown Esq.

Securities & Exchange Commission, 200 Vesey Street, Suite 400

New York, NY 10281-1022

CAUSE OF ACTION (CITE THE U.S. CIVIL STATUTE UNDER WHICH YOU ARE FILING AND WRITE A BRIEF STATEMENT OF CAUSE)
(DO NOT CITE JURISDICTIONAL STATUTES UNLESS DIVERSITY)

Violations of federal securities laws (15 U.S.C. §§ 77e(a) and (c), 77o(b), 77q(a)(1), 78i(a)(1), 78j(b) (and rules thereunder), 78t(e), 80b-6(1))

Has this action, case, or proceeding, or one essentially the same been previously filed in SDNY at any time? Yes Judge Previously AssignedIf yes, was this case Vol. Invol. Dismissed. No Yes If yes, give date _____ & Case No. _____

IS THIS AN INTERNATIONAL ARBITRATION CASE?

No Yes

(PLACE AN [X] IN ONE BOX ONLY)

NATURE OF SUIT

		TORTS		ACTIONS UNDER STATUTES			
CONTRACT	PERSONAL INJURY	PERSONAL INJURY	FORFEITURE/PENALTY	BANKRUPTCY	OTHER STATUTES		
<input type="checkbox"/> 110 INSURANCE	<input type="checkbox"/> 310 AIRPLANE	<input type="checkbox"/> 367 HEALTHCARE/	<input type="checkbox"/> 1625 DRUG RELATED	<input type="checkbox"/> 422 APPEAL	<input type="checkbox"/> 375 FALSE CLAIMS	<input type="checkbox"/> 400 STATE	<input type="checkbox"/> REAPPORTIONMENT
<input type="checkbox"/> 120 MARINE	<input type="checkbox"/> 315 AIRPLANE PRODUCT	<input type="checkbox"/> PHARMACEUTICAL PERSONAL	<input type="checkbox"/> SEIZURE OF PROPERTY	<input type="checkbox"/> 28 USC 158	<input type="checkbox"/> 401 ANTITRUST	<input type="checkbox"/> 410 BANKS & BANKING	<input type="checkbox"/> 430 COMMERCIAL
<input type="checkbox"/> 130 MILLER ACT	<input type="checkbox"/> LIABILITY	<input type="checkbox"/> INJURY/PRODUCT LIABILITY	<input type="checkbox"/> 21 USC 881	<input type="checkbox"/> 423 WITHDRAWAL	<input type="checkbox"/> 450 DEPORTATION	<input type="checkbox"/> 460 DEPORTATION	<input type="checkbox"/> 470 RACKETEER INFLUENCED & CORRUPT
<input type="checkbox"/> 140 NEGOTIABLE	<input type="checkbox"/> 320 ASSAULT, LIBEL &	<input type="checkbox"/> PERSONAL INJURY	<input type="checkbox"/> PRODUCT LIABILITY	<input type="checkbox"/> 157	<input type="checkbox"/> 480 CONSUMER CREDIT	<input type="checkbox"/> 490 CABLE/SATELLITE TV	<input type="checkbox"/> ORGANIZATION ACT (RICO)
<input type="checkbox"/> 150 INSTRUMENT	<input type="checkbox"/> SLANDER	<input type="checkbox"/> 368 ASBESTOS PERSONAL	<input type="checkbox"/> 690 OTHER	<input type="checkbox"/> 820 COPYRIGHTS	<input type="checkbox"/> 850 SECURITIES/	<input type="checkbox"/> 855 COMMODITIES/	<input type="checkbox"/> EXCHANGE
<input type="checkbox"/> 150 RECOVERY OF	<input type="checkbox"/> 330 FEDERAL	<input type="checkbox"/> INJURY PRODUCT	<input type="checkbox"/> LIABILITY	<input type="checkbox"/> 830 PATENT	<input type="checkbox"/> 860 TRADEMARK	<input type="checkbox"/> 865 SECURITIES/	<input type="checkbox"/> COMMODITIES/
OVERPAYMENT &	EMPLOYERS'	<input type="checkbox"/> LIABILITY	<input type="checkbox"/> LIABILITY	<input type="checkbox"/> 840 TRADEMARK	<input type="checkbox"/> 870 OTHER STATUTORY	<input type="checkbox"/> 880 ACTIONS	<input type="checkbox"/> 881 AGRICULTURAL ACTS
ENFORCEMENT	<input type="checkbox"/> LIABILITY	<input type="checkbox"/> PERSONAL PROPERTY	<input type="checkbox"/> PERSONAL PROPERTY	<input type="checkbox"/> 864 SSID TITLE XVI	<input type="checkbox"/> 882 OTHER STATUTORY	<input type="checkbox"/> 890 ACTIONS	<input type="checkbox"/> 891 AGRICULTURAL ACTS
OF JUDGMENT	<input type="checkbox"/> 340 MARINE	<input type="checkbox"/> 370 OTHER FRAUD	<input type="checkbox"/> 865 RSI (405(g))	<input type="checkbox"/> 861 HIA (1395ff)	<input type="checkbox"/> 892 ENVIRONMENTAL	<input type="checkbox"/> 893 MATTERS	<input type="checkbox"/> 894 FREEDOM OF
<input type="checkbox"/> 151 MEDICARE ACT	<input type="checkbox"/> 345 MARINE PRODUCT	<input type="checkbox"/> 371 TRUTH IN LENDING	<input type="checkbox"/> 863 DIWC/DIWV (405(g))	<input type="checkbox"/> 862 BLACK LUNG (923)	<input type="checkbox"/> 895 INFORMATION ACT	<input type="checkbox"/> 896 ARBITRATION	<input type="checkbox"/> 897 PROCEDURE ACT/REVIEW OF
<input type="checkbox"/> 152 RECOVERY OF	<input type="checkbox"/> LIABILITY	<input type="checkbox"/> PRODUCT LIABILITY	<input type="checkbox"/> 710 FAIR LABOR	<input type="checkbox"/> 864 SSID TITLE XVI	<input type="checkbox"/> 898 APPEAL OF AGENCY DECISION	<input type="checkbox"/> 899 ADMINISTRATIVE	<input type="checkbox"/> 900 CONSTITUTIONALITY OF
DEFAULTED	<input type="checkbox"/> 350 MOTOR VEHICLE	<input type="checkbox"/> 380 OTHER PERSONAL	<input type="checkbox"/> STANDARDS ACT	<input type="checkbox"/> 865 RSI (405(g))	<input type="checkbox"/> 901 STATE STATUTES	<input type="checkbox"/> 902 PROCEDURE ACT/REVIEW OF	<input type="checkbox"/> 903 APPEAL OF AGENCY DECISION
STUDENT LOANS	<input type="checkbox"/> 355 MOTOR VEHICLE	<input type="checkbox"/> PROPERTY DAMAGE	<input type="checkbox"/> 720 LABOR/MGMT	<input type="checkbox"/> 866 SSID TITLE XVI	<input type="checkbox"/> 904 CONSTITUTIONALITY OF	<input type="checkbox"/> 905 STATE STATUTES	<input type="checkbox"/> 906 CONSTITUTIONALITY OF
(EXCL VETERANS)	<input type="checkbox"/> PRODUCT LIABILITY	<input type="checkbox"/> PROPERTY DAMAGE	<input type="checkbox"/> RELATIONS	<input type="checkbox"/> 867 RSI (405(g))	<input type="checkbox"/> 907 STATE STATUTES	<input type="checkbox"/> 908 CONSTITUTIONALITY OF	<input type="checkbox"/> 909 STATE STATUTES
<input type="checkbox"/> 153 RECOVERY OF	<input type="checkbox"/> 360 OTHER PERSONAL	<input type="checkbox"/> 730 RAILWAY LABOR ACT	<input type="checkbox"/> 870 TAXES (U.S. Plaintiff or	<input type="checkbox"/> 868 HIA (1395ff)	<input type="checkbox"/> 910 CONSTITUTIONALITY OF	<input type="checkbox"/> 911 STATE STATUTES	<input type="checkbox"/> 912 CONSTITUTIONALITY OF
OVERPAYMENT	<input type="checkbox"/> INJURY	<input type="checkbox"/> 362 PERSONAL INJURY -	<input type="checkbox"/> DEFENDANT)	<input type="checkbox"/> 869 BLACK LUNG (923)	<input type="checkbox"/> 913 STATE STATUTES	<input type="checkbox"/> 914 CONSTITUTIONALITY OF	<input type="checkbox"/> 915 STATE STATUTES
OF VETERAN'S	<input type="checkbox"/> MED MALPRACTICE	<input type="checkbox"/> MED MALPRACTICE	<input type="checkbox"/> 740 LABOR ACT (FMLA)	<input type="checkbox"/> 871 IRS-THIRD PARTY	<input type="checkbox"/> 916 STATE STATUTES	<input type="checkbox"/> 917 CONSTITUTIONALITY OF	<input type="checkbox"/> 918 STATE STATUTES
BENEFITS	<input type="checkbox"/> ACTIONS UNDER STATUTES	<input type="checkbox"/> 385 PROPERTY DAMAGE	<input type="checkbox"/> 751 FAMILY MEDICAL	<input type="checkbox"/> 26 USC 7609	<input type="checkbox"/> 919 STATE STATUTES	<input type="checkbox"/> 920 CONSTITUTIONALITY OF	<input type="checkbox"/> 921 STATE STATUTES
STOCKHOLDERS	<input type="checkbox"/> CIVIL RIGHTS	<input type="checkbox"/> PROPERTY DAMAGE	<input type="checkbox"/> LEAVE ACT (FMLA)	<input type="checkbox"/> 872 TAXES (U.S. Plaintiff or	<input type="checkbox"/> 922 STATE STATUTES	<input type="checkbox"/> 923 CONSTITUTIONALITY OF	<input type="checkbox"/> 924 STATE STATUTES
SUITS	<input type="checkbox"/> 440 OTHER CIVIL RIGHTS	<input type="checkbox"/> 530 HABEAS CORPUS	<input type="checkbox"/> 790 OTHER LABOR	<input type="checkbox"/> DEFENDANT)	<input type="checkbox"/> 925 STATE STATUTES	<input type="checkbox"/> 926 CONSTITUTIONALITY OF	<input type="checkbox"/> 927 STATE STATUTES
OTHER	<input type="checkbox"/> (Non-Prisoner)	<input type="checkbox"/> 535 DEATH PENALTY	<input type="checkbox"/> LITIGATION	<input type="checkbox"/> 873 IRS-THIRD PARTY	<input type="checkbox"/> 928 STATE STATUTES	<input type="checkbox"/> 929 CONSTITUTIONALITY OF	<input type="checkbox"/> 930 STATE STATUTES
CONTRACT	<input type="checkbox"/> 540 MANDAMUS & OTHER	<input type="checkbox"/> 540 MANDAMUS & OTHER	<input type="checkbox"/> 791 EMPL RET INC	<input type="checkbox"/> 26 USC 7609	<input type="checkbox"/> 931 STATE STATUTES	<input type="checkbox"/> 932 CONSTITUTIONALITY OF	<input type="checkbox"/> 933 STATE STATUTES
CONTRACT	<input type="checkbox"/> 548 EDUCATION	<input type="checkbox"/> SECURITY ACT (ERISA)	<input type="checkbox"/> SECURITY ACT (ERISA)	<input type="checkbox"/> 874 TAXES (U.S. Plaintiff or	<input type="checkbox"/> 934 STATE STATUTES	<input type="checkbox"/> 935 CONSTITUTIONALITY OF	<input type="checkbox"/> 936 STATE STATUTES
PRODUCT	<input type="checkbox"/> 549 EDUCATION	<input type="checkbox"/> IMMIGRATION	<input type="checkbox"/> 875 TAXES (U.S. Plaintiff or	<input type="checkbox"/> DEFENDANT)	<input type="checkbox"/> 937 STATE STATUTES	<input type="checkbox"/> 938 CONSTITUTIONALITY OF	<input type="checkbox"/> 939 STATE STATUTES
LIAIBILITY	<input type="checkbox"/> 550 CIVIL RIGHTS	<input type="checkbox"/> 550 CIVIL RIGHTS	<input type="checkbox"/> 876 TAXES (U.S. Plaintiff or	<input type="checkbox"/> DEFENDANT)	<input type="checkbox"/> 940 STATE STATUTES	<input type="checkbox"/> 941 CONSTITUTIONALITY OF	<input type="checkbox"/> 942 STATE STATUTES
<input type="checkbox"/> 196 FRANCHISE	<input type="checkbox"/> 555 PRISON CONDITION	<input type="checkbox"/> 555 PRISON CONDITION	<input type="checkbox"/> 877 TAXES (U.S. Plaintiff or	<input type="checkbox"/> DEFENDANT)	<input type="checkbox"/> 943 STATE STATUTES	<input type="checkbox"/> 944 CONSTITUTIONALITY OF	<input type="checkbox"/> 945 STATE STATUTES
REAL PROPERTY	<input type="checkbox"/> 560 CIVIL DETAINEE	<input type="checkbox"/> 560 CIVIL DETAINEE	<input type="checkbox"/> 878 TAXES (U.S. Plaintiff or	<input type="checkbox"/> DEFENDANT)	<input type="checkbox"/> 946 STATE STATUTES	<input type="checkbox"/> 947 CONSTITUTIONALITY OF	<input type="checkbox"/> 948 STATE STATUTES
<input type="checkbox"/> 210 LAND	<input type="checkbox"/> 565 CONDITIONS OF CONFINEMENT	<input type="checkbox"/> CONDITIONS OF CONFINEMENT	<input type="checkbox"/> 879 TAXES (U.S. Plaintiff or	<input type="checkbox"/> DEFENDANT)	<input type="checkbox"/> 949 STATE STATUTES	<input type="checkbox"/> 950 CONSTITUTIONALITY OF	<input type="checkbox"/> 951 STATE STATUTES
CONDEMNATION	<input type="checkbox"/> 570 CONDITIONS OF CONFINEMENT	<input type="checkbox"/> 570 CONDITIONS OF CONFINEMENT	<input type="checkbox"/> 880 TAXES (U.S. Plaintiff or	<input type="checkbox"/> DEFENDANT)	<input type="checkbox"/> 952 STATE STATUTES	<input type="checkbox"/> 953 CONSTITUTIONALITY OF	<input type="checkbox"/> 954 STATE STATUTES
FORECLOSURE	<input type="checkbox"/> 575 ACCOMMODATIONS	<input type="checkbox"/> 575 ACCOMMODATIONS	<input type="checkbox"/> 881 TAXES (U.S. Plaintiff or	<input type="checkbox"/> DEFENDANT)	<input type="checkbox"/> 955 STATE STATUTES	<input type="checkbox"/> 956 CONSTITUTIONALITY OF	<input type="checkbox"/> 957 STATE STATUTES
RENT LEASE &	<input type="checkbox"/> 580 AMERICANS WITH	<input type="checkbox"/> 580 AMERICANS WITH	<input type="checkbox"/> 882 TAXES (U.S. Plaintiff or	<input type="checkbox"/> DEFENDANT)	<input type="checkbox"/> 958 STATE STATUTES	<input type="checkbox"/> 959 CONSTITUTIONALITY OF	<input type="checkbox"/> 960 STATE STATUTES
EJECTION	<input type="checkbox"/> DISABILITIES -	<input type="checkbox"/> DISABILITIES -	<input type="checkbox"/> 883 TAXES (U.S. Plaintiff or	<input type="checkbox"/> DEFENDANT)	<input type="checkbox"/> 961 STATE STATUTES	<input type="checkbox"/> 962 CONSTITUTIONALITY OF	<input type="checkbox"/> 963 STATE STATUTES
<input type="checkbox"/> 240 TORTS TO LAND	<input type="checkbox"/> EMPLOYMENT	<input type="checkbox"/> EMPLOYMENT	<input type="checkbox"/> 884 TAXES (U.S. Plaintiff or	<input type="checkbox"/> DEFENDANT)	<input type="checkbox"/> 964 STATE STATUTES	<input type="checkbox"/> 965 CONSTITUTIONALITY OF	<input type="checkbox"/> 966 STATE STATUTES
<input type="checkbox"/> 245 TORT PRODUCT	<input type="checkbox"/> 585 DISABILITIES - OTHER	<input type="checkbox"/> 585 DISABILITIES - OTHER	<input type="checkbox"/> 885 TAXES (U.S. Plaintiff or	<input type="checkbox"/> DEFENDANT)	<input type="checkbox"/> 967 STATE STATUTES	<input type="checkbox"/> 968 CONSTITUTIONALITY OF	<input type="checkbox"/> 969 STATE STATUTES
<input type="checkbox"/> 290 ALL OTHER	<input type="checkbox"/> 590 EDUCATION	<input type="checkbox"/> 590 EDUCATION	<input type="checkbox"/> 886 TAXES (U.S. Plaintiff or	<input type="checkbox"/> DEFENDANT)	<input type="checkbox"/> 970 STATE STATUTES	<input type="checkbox"/> 971 CONSTITUTIONALITY OF	<input type="checkbox"/> 972 STATE STATUTES
REAL PROPERTY	<input type="checkbox"/> 595 EDUCATION	<input type="checkbox"/> 595 EDUCATION	<input type="checkbox"/> 887 TAXES (U.S. Plaintiff or	<input type="checkbox"/> DEFENDANT)	<input type="checkbox"/> 973 STATE STATUTES	<input type="checkbox"/> 974 CONSTITUTIONALITY OF	<input type="checkbox"/> 975 STATE STATUTES

Check if demanded in complaint:

 CHECK IF THIS IS A CLASS ACTION
UNDER F.R.C.P. 23DO YOU CLAIM THIS CASE IS RELATED TO A CIVIL CASE NOW PENDING IN S.D.N.Y.?
IF SO, STATE: _____

DEMAND \$ _____ OTHER _____

JUDGE _____ DOCKET NUMBER _____

Check YES only if demanded in complaint
JURY DEMAND: YES NO

NOTE: You must also submit at the time of filing the Statement of Relatedness form (Form IH-32).

(PLACE AN X IN ONE BOX ONLY)

<input checked="" type="checkbox"/> 1 Original Proceeding	<input type="checkbox"/> 2 Removed from State Court	<input type="checkbox"/> 3 Remanded from Appellate Court	<input type="checkbox"/> 4 Reinstated or Reopened	<input type="checkbox"/> 5 Transferred from (Specify District)	<input type="checkbox"/> 6 Multidistrict Litigation	<input type="checkbox"/> 7 Appeal to District Judge from Magistrate Judge Judgment
		<input type="checkbox"/> a. all parties represented				
		<input type="checkbox"/> b. At least one party is pro se.				

(PLACE AN X IN ONE BOX ONLY)

<input checked="" type="checkbox"/> 1 U.S. PLAINTIFF	<input type="checkbox"/> 2 U.S. DEFENDANT	<input type="checkbox"/> 3 FEDERAL QUESTION (U.S. NOT A PARTY)	<input type="checkbox"/> 4 DIVERSITY
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IF DIVERSITY, INDICATE CITIZENSHIP BELOW.

CITIZENSHIP OF PRINCIPAL PARTIES (FOR DIVERSITY CASES ONLY)

(Place an [X] in one box for Plaintiff and one box for Defendant)

CITIZEN OF THIS STATE	PTF [] 1	DEF [] 1	CITIZEN OR SUBJECT OF A FOREIGN COUNTRY	PTF [] 3	DEF [] 3	INCORPORATED and PRINCIPAL PLACE OF BUSINESS IN ANOTHER STATE	PTF [] 5	DEF [] 5
CITIZEN OF ANOTHER STATE	[] 2	[] 2	INCORPORATED or PRINCIPAL PLACE OF BUSINESS IN THIS STATE	[] 4	[] 4	FOREIGN NATION	[] 6	[] 6

PLAINTIFF(S) ADDRESS(ES) AND COUNTY(IES)

Securities and Exchange Commission
200 Vesey Street, Suite 400
New York, NY 10281
New York County

DEFENDANT(S) ADDRESS(ES) AND COUNTY(IES)

See attached.

DEFENDANT(S) ADDRESS UNKNOWN

REPRESENTATION IS HEREBY MADE THAT, AT THIS TIME, I HAVE BEEN UNABLE, WITH REASONABLE DILIGENCE, TO ASCERTAIN RESIDENCE ADDRESSES OF THE FOLLOWING DEFENDANTS:

Check one: THIS ACTION SHOULD BE ASSIGNED TO: WHITE PLAINS MANHATTAN
(DO NOT check either box if this a PRISONER PETITION/PRISONER CIVIL RIGHTS COMPLAINT.)

DATE 9.24.15 SIGNATURE OF ATTORNEY OF RECORD

RECEIPT #

ADMITTED TO PRACTICE IN THIS DISTRICT
[] NO
 YES (DATE ADMITTED Mo. 07 Yr. 1987)
Attorney Bar Code # AC-4864

Magistrate Judge is to be designated by the Clerk of the Court.

Magistrate Judge _____ is so Designated.

Ruby J. Krajick, Clerk of Court by _____ Deputy Clerk, DATED _____.

UNITED STATES DISTRICT COURT (NEW YORK SOUTHERN)

Addendum to Civil Cover SheetAttorneys for Defendants

Defendant	Counsel
Jason W. Galanis	<p>Thomas P. Mazzucco Murphy Pearson Bradley & Feeney 88 Kearny Street 10th Floor San Francisco, CA 94108 Tel: 415.788.1900</p>
John P. Galanis	<p>Kevin V. Ryan Law Offices of Kevin V. Ryan 88 Kearny St., 10th Floor San Francisco, CA 94108 (415) 518-2024</p> <p>Paul R. Grand Morvillo Abramowitz Grand Iason & Anello PC 565 Fifth Avenue New York, NY 10017 (212) 856-9600</p>
Jared M. Galanis	<p>Barry A. Bohrer Schulte Roth & Zabel LLP 919 Third Avenue New York, NY 10022 Tel: 212.756.2380</p>
Derek M. Galanis	<p>Anthony J. Brass Law Offices of Anthony J. Brass 3223 Webster Street San Francisco, CA 94123 (415) 922-5462</p>
Gary T. Hirst	<p>Joshua Sohn Mishcon de Reya New York LLP 750 7th Avenue 26th Floor New York, NY 10019 Tel: 212.612.3271</p>
Gavin L. Hamels	<p>Sam Lieberman Sadis & Goldberg LLP 551 Fifth Avenue, 21st Floor New York, NY 10176 Tel: 212.573.8164</p>

Defendants' Addresses and Counties

Defendant	Address and County
Jason W. Galanis	1920 Bel Air Road Los Angeles, CA 90077 County: Los Angeles
John P. Galanis	3402 Summer Set Way Oceanside, CA 92056 County: San Diego
Jared M. Galanis	3000 Falls Rd. #323 Baltimore, MD 21211 County: Baltimore
Derek M. Galanis	3402 Summer Set Way Oceanside, CA 92056 County: San Diego
Gary T. Hirst	174 W Lakeview Ave. Lake Mary, FL 32746-5351 County: Seminole
Gavin L. Hamels	1460 Heritage Ln. Encinitas, CA 92024 County: San Diego